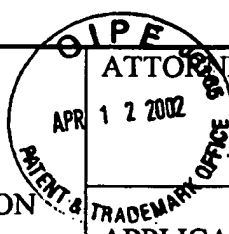




|   |                                 |                   |
|---|---------------------------------|-------------------|
| FORM PTO-1449 (MODIFIED)<br><br>LIST OF PATENTS AND<br>PUBLICATIONS<br>FOR APPLICANTS INFORMATION<br>DISCLOSURE STATEMENT | ATTORNEY DOCKET NO.<br>SP01-068 | SERIAL NO.<br>TBA |
|   | APPLICANT Renoldi et al.        |                   |
|   | FILING DATE TBA                 | GROUP: TBA        |



| REFERENCE DESIGNATION |    |                 |      | U.S. PATENT DOCUMENTS |       |           |                        |
|-----------------------|----|-----------------|------|-----------------------|-------|-----------|------------------------|
| Examiner Initial      |    | Document Number | Date | Name                  | Class | Sub-Class | Filing Date if Approp. |
|                       | AA |                 |      |                       |       |           |                        |
|                       | AB |                 |      |                       |       |           |                        |
|                       | AC |                 |      |                       |       |           |                        |
|                       | AD |                 |      |                       |       |           |                        |
|                       | AE |                 |      |                       |       |           |                        |
|                       | AF |                 |      |                       |       |           |                        |
|                       | AG |                 |      |                       |       |           |                        |
|                       | AH |                 |      |                       |       |           |                        |
|                       | AI |                 |      |                       |       |           |                        |
|                       | AJ |                 |      |                       |       |           |                        |
|                       | AK |                 |      |                       |       |           |                        |

| FOREIGN PATENT DOCUMENTS            |    |                 |        |                     |                                     |                                     |             |                                     |
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|                                     |    | Document Number | Date   | Country             | Class                               | Sub-Class                           | Translation |                                     |
|                                     |    |                 |        |                     |                                     |                                     | Yes         | No                                  |
| <input checked="" type="checkbox"/> | AL | JP 9-230151     | 9/5/97 | Japan (w/ Abstract) | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |             | <input checked="" type="checkbox"/> |
| <input checked="" type="checkbox"/> | AM | JP 9-33740      | 2/7/97 | Japan (w/ Abstract) | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |             | <input checked="" type="checkbox"/> |
| <input checked="" type="checkbox"/> | AN | WO 97/32228     | 9/4/97 | PCT                 | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |             | <input checked="" type="checkbox"/> |
|                                     | AO |                 |        |                     |                                     |                                     |             |                                     |
|                                     | AP |                 |        |                     |                                     |                                     |             |                                     |
|                                     | AQ |                 |        |                     |                                     |                                     |             |                                     |

| OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.) |    |  |
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| <input checked="" type="checkbox"/>                              | AR | Yosi Shani et al., "Buried Rib Passive Waveguide Y Junctions With Sharp Vertex on INP", IEEE Photonics Technology Letters, Vol. 3, No. 3, March 1, 1991, pp. 210-212   |
| <input checked="" type="checkbox"/>                              | AS | Veerman F.B. et al., "An Optical Passive 3-DB TMI-Coupler With Reduced Fabrication Tolerance Sensitivity", Journal of Lightwave Technology, Vol. 10, No. 3, March 1, 1992, pp. 306-311                               |
| <input checked="" type="checkbox"/>                              | AT | Mikio Tsuji et al., "Low-Loss Design Method for a Planar Dielectric-Waveguide Y Branch: Effect of a Taper of Serpentine Shape", IEEE Transactions on Microwave Theory and Techniques, Vol. 39, No. 1, 1991, pp. 6-13 |
| <input checked="" type="checkbox"/>                              | AU | Chan, H.P. et al., "Low Loss Wide-Angle Symmetric Y-Branch Waveguide", Electronics Letters, Vol. 32, No. 7, March 28, 1996, pp. 652-654  |
| <input checked="" type="checkbox"/>                              | AV | Ichiro Tanaka et al., "Glass Waveguide 1XN Branching Devices", IEICE Transactions on Communications, Institute of Electronics Information and Comm. Eng., Vol. E75-B, No. 9, September 1, 1992, pp. 886-892          |

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|  | AW | Hsu, Jui-Ming et al., "Systematic Design of Novel Wide-Angle Low-Loss Symmetric Y-Junction Waveguides", IEEE Journal Of Quantum Electronics, Vol. 34, No. 4, April 1, 1998, pp. 673-679  |
|  | AX | Van der Tol, Jos J.G.M. et al., "A Polarization Splitter on LiNbO <sub>3</sub> Using Only Titanium Diffusion", Journal of Lightwave Technology, Vol. 9, No. 7, July 1, 1991, pp. 879-886 |

EXAMINER:



DATE CONSIDERED:

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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609: draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

